

Proposal # <u>2001-1-211</u> (Office Use Only)
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PSP Cover Sheet (Attach to the front of each proposal)

Proposal Title: Sutter Mutual Water Company Positive Barrier Fish Screen Project
 Applicant Name: Sutter Mutual Water Company
 Contact Name: Max Sakato
 Mailing Address: P.O. Box 128, Robbins, CA 95676
 Telephone: (530)738-4423
 Fax: (530)738-4327
 Email: _____

Amount of funding requested: \$ 15,100,000

Some entities charge different costs dependent on the source of the funds. If it is different for state or federal funds list below.

State cost 50% Federal cost 50%

Cost share partners?

☒ Yes ☐ No

Identify partners and amount contributed by each No specific funding commitments have been made at this time.

Indicate the Topic for which you are applying (check only one box).

- | | |
|--|--|
| <input type="checkbox"/> Natural Flow Regimes | <input type="checkbox"/> Beyond the Riparian Corridor |
| <input type="checkbox"/> Nonnative Invasive Species | <input type="checkbox"/> Local Watershed Stewardship |
| <input type="checkbox"/> Channel Dynamics/Sediment Transport | <input type="checkbox"/> Environmental Education |
| <input type="checkbox"/> Flood Management | <input type="checkbox"/> Special Status Species Surveys and Studies |
| <input type="checkbox"/> Shallow Water Tidal/ Marsh Habitat | <input type="checkbox"/> Fishery Monitoring, Assessment and Research |
| <input type="checkbox"/> Contaminants | <input checked="" type="checkbox"/> Fish Screens |

What county or counties is the project located in? Sutter County, California

What CALFED ecozone is the project located in? See attached list and indicate number. Be as specific as possible Sacramento River 3.4

Indicate the type of applicant (check only one box):

- | | |
|--|---|
| <input type="checkbox"/> State agency | <input type="checkbox"/> Federal agency |
| <input type="checkbox"/> Public/Non-profit joint venture | <input type="checkbox"/> Non-profit |
| <input type="checkbox"/> Local government/district | <input type="checkbox"/> Tribes |
| <input type="checkbox"/> University | <input type="checkbox"/> Private party |
| <input checked="" type="checkbox"/> Other: <u>Mutual Water Company</u> | |

Indicate the primary species which the proposal addresses (check all that apply):

- | | |
|--|---|
| <input type="checkbox"/> San Joaquin and East-side Delta tributaries fall-run chinook salmon | <input checked="" type="checkbox"/> Spring-run chinook salmon |
| <input checked="" type="checkbox"/> Winter-run chinook salmon | <input checked="" type="checkbox"/> Fall-run chinook salmon |
| <input checked="" type="checkbox"/> Late-fall run chinook salmon | <input type="checkbox"/> Longfin smelt |
| <input type="checkbox"/> Delta smelt | <input checked="" type="checkbox"/> Steelhead trout |
| <input checked="" type="checkbox"/> Splittail | <input type="checkbox"/> Striped bass |
| <input checked="" type="checkbox"/> Green sturgeon | <input type="checkbox"/> All chinook species |
| <input type="checkbox"/> White Sturgeon | <input type="checkbox"/> All anadromous salmonids |
| <input type="checkbox"/> Waterfowl and Shorebirds | <input type="checkbox"/> American shad |
| <input type="checkbox"/> Migratory birds | |
| <input type="checkbox"/> Other listed T/E species: _____ | |

Indicate the type of project (check only one box):

- | | |
|---|---|
| <input type="checkbox"/> Research/Monitoring | <input type="checkbox"/> Watershed Planning |
| <input type="checkbox"/> Pilot/Demo Project | <input type="checkbox"/> Education |
| <input checked="" type="checkbox"/> Full-scale Implementation | |

Is this a next-phase of an ongoing project? Yes _____ No X
Have you received funding from CALFED before? Yes _____ No X

If yes, list project title and CALFED number _____

Have you received funding from CVPIA before? Yes _____ No X

If yes, list CVPIA program providing funding, project title and CVPIA number (if applicable):

By signing below, the applicant declares the following:

- The truthfulness of all representations in their proposal;
- The individual signing the form is entitled to submit the application on behalf of the applicant (if the applicant is an entity or organization); and
- The person submitting the application has read and understood the conflict of interest and confidentiality discussion in the PSP (Section 2.4) and waives any and all rights to privacy and confidentiality of the proposal on behalf of the applicant, to the extent as provided in the Section.

Max Sakato

Printed name of applicant

Max Sakato

Signature of applicant

EXECUTIVE SUMMARY

PROJECT TITLE: SUTTER MUTUAL WATER COMPANY
POSITIVE BARRIER FISH SCREEN PROJECT

AMOUNT OF FUNDING REQUESTED: \$15,100,000

PROJECT APPLICANT: s\SUTTER MUTUAL WATER COMPANY
P.O. BOX 128, ROBBINS, CA 95676

CONTACT NAME: MAX SAKATO
(530)738-4423, FAX (530)738-4327, E-MAIL Xminusmax@aol.com

PARTICIPANTS AND COLLABORATORS: LAUGENOUR AND MEIKLE, CIVIL ENGINEERS
608 COURT STREET, WOODLAND, CA 95695
(530)662-1755, FAX (530)662-4602

PROJECT DESCRIPTION/EXECUTIVE SUMMARY:

Sutter Mutual Water Company, located in Sutter County along the Sacramento River, has been identified as a large surface water diverter through its Tisdale Pumping Plant.

The project objective is to investigate alternatives for construction of a positive barrier fish screen to prevent entrainment of all runs of chinook salmon and steelhead. The approach is to utilize screening design currently being used successfully on other large diversions on the Sacramento River consistent with the Anadromous Fish Restoration Program.

The project includes preparation of a feasibility study funded by the U.S. Bureau of Reclamation, environmental documentation, design and preparation of construction documents, construction of the structure, installation of equipment and operation testing and performance documentation. It is anticipated that the project will commence in June 2000 and be completed in late 2002.

The project is compatible with CALFED objectives for restoring salmon and steelhead by eliminating unscreened diversions which result in fish mortality. It also represents a cooperative effort with involvement of the U.S. Fish & Wildlife Service, U.S. Bureau of Reclamation, California Department of Fish and Game and the National Marine Fisheries.

SUTTER MUTUAL WATER COMPANY POSITIVE BARRIER FISH SCREEN PROJECT

PROJECT DESCRIPTION

• STATEMENT OF PROBLEM

Sutter Mutual Water Company, a private water company located in Sutter County along the Sacramento River, has been identified as a major diverter of surface water from the Sacramento River through its Tisdale Pumping Plant. This diversion has been identified as a potential threat to entrainment and mortality of winter, spring and fall-run Chinook salmon, steelhead trout and other high risk species by both State and Federal fishery agencies.

The Water Company was incorporated in 1919 and has continued to deliver irrigation water to lands within its service area since that time through the Tisdale Pumping Plant which is located on the left bank of the Sacramento River, at River Mile 118.5 in Sutter County, 0.2 mile downstream of the Tisdale Bypass. This pumping plant is one of the largest diversions on the River diverting approximately 1,000 cubic feet per second (cfs). Fisheries studies conducted downstream have documented incidental take of juvenile Chinook Salmon and other species.

Following recommendations by the National Marine Fisheries Service (NMFS), U.S. Fish and Wildlife Service (USF&WS) and California Department of Fish and Game (CDF&G), at a meeting held on February 15, 2000, The Board of Directors of the Sutter Mutual Water Company agreed to proceed with feasibility planning and design of a positive barrier intake screen for protection of species identified under the California and Federal Endangered Species Acts.

• PROPOSED SCOPE OF WORK

The Sutter Mutual Water Company encompasses a total service area of approximately 50,000 acres and delivers water from the Sacramento River to 46,746 acres of land within the Sutter Basin, Sutter County through primarily its Tisdale Pumping Plant on the Sacramento River at 39°01'17" North latitude and 121°49'11" West longitude, within Section 35, Township 14 North, Range 1 East, Mount Diablo Meridian.

The pumping plant was constructed in 1919 to supply irrigation water for lands being reclaimed in the Sutter Basin for production of agricultural commodities and consists of six (6) centrifugal pumps. The pump structure is located on the landside toe of the Sacramento River. An additional vertical turbine pumping plant was constructed in 1940 on the riverside of the intake structure for the main pumping plant.

The proposed project consists of a feasibility report, environmental documentation, project design and construction of a fish screen facility to eliminate entrainment losses at the unscreened diversion.

Development of the Positive Barrier Intake Screen Project is being pursued in four phases as described below:

→ **PHASE I - FEASIBILITY STUDY SCOPE OF WORK:**

This phase will include the preparation of project alternatives, a preliminary environmental assessment, and collection of all data on previous studies at the Tisdale Pumping Plant. A Feasibility Report will be prepared with project cost estimates and operation and maintenance data for each alternative summarized, resulting in selection of a recommendation for a preferred alternative.

Phase I work is anticipated to be accomplished by January 1, 2001 with 100% funding provided by the U.S. Bureau of Reclamation (USBR).

→ **PHASE II - DESIGN AND PERMITTING:**

Phase II involves USBR modeling of the preferred alternative, completion of environmental documentation following anadromous fish screen program guidelines and preparation of final design, engineering drawings and specifications for construction. In addition to environmental documentation and design, all permits necessary for construction and authorization of the project will be obtained. A list of the permits and agencies involved are as follows:

Central Valley Regional Water Quality Control Board Section 401 Water Quality Certification and NPDES Discharge Permit.

- ◆ U.S. Army Corps of Engineers Section 10 of the Rivers and Harbors Act and Section 404 of the Clean Water Act.
- ◆ California Department of Fish and Game Section 1600 Stream Alteration Permit.
- ◆ California State Reclamation Board Encroachment Permit.

→ **PHASE III - CONSTRUCTION OF POSITIVE BARRIER FISH SCREEN:**

It is anticipated that construction of the positive barrier fish screen will commence in year 2001 and be completed in the fall of 2002. Tasks included within this phase include preparation of contract documents, obtaining bids, contractor selection and commencement with construction. Additionally, construction management of the project will be necessary to ensure the quality of construction and that materials supplied, field testing and construction methodology follow the plans and specifications for successful completion.

→ **PHASE IV - OPERATION TESTING, MONITORING AND FIELD PERFORMANCE DOCUMENTATION:**

Phase IV of the project includes field documentation of the operational performance of the positive barrier intake screen to demonstrate compliance with NMFS/CDF&G design criteria and an operation and maintenance manual outlining the variety of tasks to provide for the long-term success of the project.

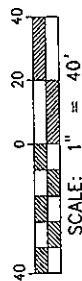
The request for CALFED funding is intended to obtain supplemental funding of the project in addition to funding from CVPLA, Proposition 204, Proposition 13 and CDF&G. It is the intention of the Water Company to secure funding for a total amount of Fifteen Million One Hundred Thousand Dollars (\$15,100,000) to complete Phases II through IV for completion of the project.

Various types of screening devices have been investigated for application with pumping plants on the Sacramento River including horizontal and vertical traveling screening, drum screens and flat plate fixed screens.

Electrical and acoustical fish guidance systems have also been investigated, tested and utilized to evaluate the effectiveness and efficiency of preventing juvenile chinook salmon and other fish specie from being entrained in river diversion facilities. Thus far, these alternative barriers, while effective in some cases, do not provide the level of protection desired by the fisheries agencies and, therefore, are not in compliance with policies enacted to meet the requirements of the Federal Endangered Species Act.

It is evident from research data and field application that fixed screens provide maximum protection for migrating fish, being reliable and economical to maintain as well as being generally free of major operational problems since there are no primary moving parts associated with the screen facility. Most of the large pumping plants on the Sacramento River where screens have been installed are of the fixed screen type.

SACRAMENTO RIVER



SUTTER MUTUAL WATER COMPANY
FISH SCREEN PROJECT

ROBINSON, CALIFORNIA

LM CIVIL ENGINEERING
LAND SURVEYING
PLANNING
LAUGHOUR AND MEIKLE
304 Court Street, Woodland, CA 95693
Phone (707) 962-7020
Fax (707) 962-9802

BENCH MARK:
TOP 3 3/4" BRASS U.S.C.D. DISK
#1112 N. TOP OF MUDINE SLOUGH
CANAL BANK SOUTH SIDE, SOUTH
DRIVE TO HOUSE 424 WEST OF
CENTERLINE OF WILSON BOND ROAD.
ELEV. 40.00

LAUGHOUR AND MEIKLE
BY: RICHARD G. JENNNESS
DATE: P.E. 20418
REGISTRATION EXPIRES 9-30-01



**SUTTER MUTUAL WATER COMPANY
POSITIVE BARRIER FISH SCREEN PROJECT
PRELIMINARY PROJECT SCHEDULE**

	2000												2001												2002													
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC		
PHASE I PREPARATION OF PROJECT ALTERNATIVES, PRELIMINARY ENVIRONMENTAL ASSESSMENT, FEASIBILITY STUDY, PROJECT COST ESTIMATE AND OPERATION AND MAINTENANCE DATA FOR ALTERNATIVES																																						
PHASE II MODELING PROJECT ALTERNATIVE, ENVIRONMENTAL DOCUMENTATION, DESIGN, DRAWINGS AND SPECIFICATIONS																																						
PHASE III PROJECT CONSTRUCTION, PROJECT MANAGEMENT, TESTING AND PROJECT ADMINISTRATION																																						
PHASE IV OPERATIONAL PERFORMANCE TESTING, FIELD DOCUMENTATION AND OPERATION AND MAINTENANCE MANUAL PREPARATION																																						

APPLICABILITY TO CALFED ERP GOALS AND IMPLEMENTATION PLAN AND CVPIA PRIORITIES:

- **ERP GOALS AND CVPIA PRIORITIES**

This fish screen project will help achieve recovery of at-risk native species of fish as a step towards establishing large, self-sustaining populations of these species. This project will directly help contribute to the resolution of the conflict between protecting endangered species and providing reliable supplies of water for agriculture. This project will help achieve the recovery of the following at-risk species: all runs of Chinook salmon, steelhead trout and Sacramento splittail. (Ecosystem Restoration Projects and Programs, 2001 Proposal Solicitation Package, Page 17, Goal 1.) In addition to the above mentioned at-risk species this project will also contribute to the goal of doubling the other anadromous fish named in the Central Valley Improvement Act (CVPIA), specifically, white and green sturgeon, American shad, and striped bass.

The successful downstream migration season for juvenile Chinook Salmon depends on weather and water temperatures among other factors. Some of the migration periods coincide with the normal season for irrigation water diversion at the Sutter Mutual Water Company (SMWC) Tisdale diversion facility. The diversion period for SMWC is usually April 1 through October 31, and consequently overlaps many of the adult and juvenile Salmon migration seasons. Construction of the fish screen meeting Federal and State agencies' design criteria will protect fish species by eliminating the entrainment of juvenile fish into the pump intakes during their migration and protecting the fish from predators in the area of the diversion and screen facilities.

Construction of a fish screen for this currently unscreened large diversion is consistent with the identified stressors and priorities for project funding by CALFED. The prevention of entrainment of at-risk fish species will result in a significant improvement in the aquatic habitat of the Sacramento River and Bay-Delta system. In addition, the project will assure a reliable year-round supply of water for 50,000 acres of agricultural land and significant migratory wetland habitat, which provide some of the most significant migratory habitat in the Central Valley and in all of North America.

- **RELATIONSHIP TO OTHER ECOSYSTEM RESTORATION PROJECTS**

This project has been discussed and coordinated with the US Fish and Wildlife Service (USFWS) and US Bureau of Reclamation (BOR) under the Central Valley Project Improvement Act Anadromous Fish Screen Program (CVPIA/AFSP). Discussions and consultation have also been held with the National Marine Fisheries Service and California State Department of Fish and Game in terms of their respective fish screen project development and regulatory programs. The project permitting, design, and construction will be performed in consultation and coordination with the technical team and regulatory agencies designated in the CVPIA/AFSP.

- **REQUESTS FOR NEXT-PHASE FUNDING**

This proposal is for “next-phase funding” of the fish screen project. Currently, the project is in the feasibility study phase. The feasibility study phase includes an environmental impact assessment, preliminary design and alternatives, and cost and economic evaluation. **Funding for the feasibility study has been requested through a grant request submitted to the USFWS/BOR under the CVPIA Section 3406(b)(21) provisions which provide 50% federal cost share.** The grant request is currently being prepared by the involved agencies. The grant for feasibility study will be considered as part of the total federal 50% cost share limit allowed for the project. Funding for the remaining phases of this project including final design, completed environmental documentation, construction, and administration is included as part of this CALFED proposal. The California Department of Fish and Game (CDFG) has indicated a commitment to significant funding towards the remaining phases of the project. This proposal anticipates CALFED funding of a percentage of the total project cost needs outside the federal 50% share. It anticipates the remaining 50% of the project cost to be generated from a combination of the CDFG fish screen funding program and CALFED funding generated from State sources such as Prop. 13 or Prop. 204.

- **PREVIOUS RECIPIENT OF CALFED OR CVPIA FUNDING**

The applicant for this proposal has not been a previous applicant and/or recipient for CALFED or CVPIA Funding.

- **SYSTEM-WIDE ECOSYSTEM BENEFITS**

This project is located on the Sacramento River. Not far downstream of this project is a large diverter that has completed their fish screen project. This project will enhance the protected fish passage area between two major points of diversion on the River. This project will help achieve CALFED and CVPIA objectives by helping to improve the aquatic environment and several fish species, while concurrently providing needed water supply for the applicant. This project provides synergistic Sacramento River system benefits by allowing more fish to reach the upstream restoration projects now implemented or planned for the future. The project will not conflict with CALFED non-ecosystem objectives such as water quality for in-stream and Delta flows, but may benefit water supply reliability for the applicant as it will reduce the entrainment of fish at the diversion facility. No impacts to third parties are anticipated.

QUALIFICATIONS:

- Max Sakato is the General Manager for Sutter Mutual Water Company. He has served in this position for over 10 years. In this capacity, he is responsible for irrigation operations and administration for a 50,000 acre private water purveyor along the Sacramento River in Sutter County. He has extensive knowledge and experience dealing with water related issues concerning the Sacramento Valley and State. He is also General Manager for Reclamation District No. 1500, responsible for the flood control and drainage operations and activities of this 70,000 acre Special District located along the Sacramento River. Additionally, Sakato has extensive corporate managerial and executive experience. He was a lead manager for 12 years in agricultural and natural resource related businesses while employed by a Fortune 500 company based in San Francisco. Prior to that, he was an area agricultural manager for a large food product and processing firm.

Max Sakato will be the applicant's Project Manager. He will be responsible for coordinating with the applicant's Board of Directors on decisions and actions related to the project. He will be responsible for budgeting and administration of the funding of the project from CVPIA, California State Fish and Game, CALFED, and any other source(s) of funding. During the course of the project, he will work with his operations staff, consulting engineer, and contractors and coordinate and communicate with Federal, State, and Local agencies involved in the project. He will serve as the applicant's direct contact for all matters concerning the project.

- Richard Jenness is a Registered Civil Engineer in the State of California, Consulting Engineer for the Sutter Mutual Water Company, President of Laugenour and Meikle, Civil Engineers, with over 30 years experience in the planning, design and construction of water resource projects. He has been involved with planning and has designed fish guidance facilities on the Sacramento River and has been responsible for preparation of fish screen appraisal studies and assists in project management of fish screen projects.

Richard Jenness will work on behalf of Sutter Mutual Water Company in selection of an engineering firm to conduct the feasibility study and for preparation of the design, engineering drawings and specifications for construction. He will work under the Project Managers direction in carrying out the responsibilities of the applicant.

- Selection of the engineering consultant is now in progress with two firms being interviewed for preparation of the project alternatives and feasibility study. Both firms have extensive experience and background experience in design and construction of fixed screen design facilities in the Pacific Northwest and on the Sacramento River.
- The environmental consultant for the project has not yet been retained, although, those considered will be independent consultants specializing in biological consulting for fisheries protection, preparation of environmental assessments and environmental reports for CEQA/NEPA compliance.

**SUTTER MUTUAL WATER COMPANY
POSITIVE BARRIER FISH SCREEN PROJECT**

ESTIMATED PROJECT BUDGET

TASK		TOTAL COST
PHASE I	PREPARATION OF PROJECT ALTERNATIVES, PRELIMINARY ENVIRONMENTAL ASSESSMENT, FEASIBILITY STUDY, PROJECT COST ESTIMATE AND OPERATION AND MAINTENANCE DATA FOR ALTERNATIVES	\$250,000
PHASE II	MODELING PROJECT ALTERNATIVE, ENVIRONMENTAL DOCUMENTATION, DESIGN, DRAWINGS AND SPECIFICATIONS	\$1,000,000
PHASE III	PROJECT CONSTRUCTION, PROJECT MANAGEMENT, TESTING AND PROJECT ADMINISTRATION	\$14,000,000
PHASE IV	OPERATIONAL PERFORMANCE TESTING, FIELD DOCUMENTATION AND OPERATION AND MAINTENANCE MANUAL PREPARATION	\$100,000
TOTAL PROJECT ESTIMATED COST		\$15,350,000 ⁽¹⁾

(1) TASK COST ESTIMATES ARE BASED ON YEAR 2000 DOLLARS.

LOCAL INVOLVEMENT:

This project will not involve major involvement in county and local governance. At the appropriate time, the **Sutter County Board of Supervisors and the County Public Works and Administrative** heads will be advised and briefed about the project by an advisory letter and meeting if needed. This will be done as a courtesy to them. The only other local governance that would be interested is **Reclamation District No. 1500**, who has responsibility for local levee maintenance at the project diversion site. Their operations are administered out of the same office as the applicant so that no special complications are anticipated for coordinating and communicating the project with them.

- **Other governances** or groups involved include the California State Department of Water Resources, State Reclamation Board, U.S. Army Corps of Engineers and Sacramento River Conservation Area Non-Profit Organization:
- **California State Department of Water Resources (DWR):**
This agency is responsible for flood control actions and assistance in the area of the project. Since the project will involve Contact and activity in or about the Sacramento River levee at this site, DWR will be advised of the project by written notification and will be invited to planning and action sessions concerning the project as appropriate.
- **State Reclamation Board (SRB):**
This agency is responsible for regulatory aspects of flood control actions and assistance in the area of the project. SRB conducts levee inspections and will be involved in the planning, designing, and construction of the project to the extent of their responsibilities and jurisdiction. Since the project will involve contact and activity in or about the Sacramento River levee at this site, SRB will be advised by written notification and will be invited to planning and action sessions as appropriate.
- **US Army Corps of Engineers (COE):**
This Federal agency is responsible for flood control actions, assistance, and construction in the area of the project. Since the project will involve contact and activity in or about the Sacramento River levee at this site, COE will be advised of the project by written notification and will be invited to planning and action sessions concerning the project as appropriate.
- **Sacramento River Conservation Area Non-Profit Organization (NPO) (SB1086 Process):**
This group has been developing a fisheries and riparian habitat management plan for the Upper Sacramento River. The proposed project is in the lower River; however, the NPO group will be advised of the project as a courtesy to them.

COMPLIANCE WITH STANDARD TERMS AND CONDITIONS:

Sutter Mutual Water Company has reviewed the standard terms and conditions, including the forms of Contract Agreements for consulting and construction contract services and finds them acceptable for execution.

SUTTER MUTUAL WATER COMPANY
P.O. Box 128
Robbins, CA 95676
(530)738-4423; FAX (530)738-4327

May 15, 2000

CALFED, Bay-Delta Program Office
1416 Ninth Street, Suite 1155
Sacramento, California 95814

Re: Sutter Mutual Water Company - Fish Screen Project Letters of Notification

The 2001 Proposal Solicitation Package indicates a requirement for notification and coordination with local entities.

Since Sutter Mutual Water Company has not yet begun preparation of the feasibility study, notification of the local entities has not been accomplished. However, at the appropriate time, the Sutter County Board of Supervisors and Department heads will be advised and briefed of the project with an advisory letter and by a meeting if needed.

Sincerely,

SUTTER MUTUAL WATER COMPANY

A handwritten signature in black ink, appearing to read "Max Sakato", written in a cursive style.

Max Sakato, General Manager

Environmental Compliance Checklist

- All applicants must fill out this Environmental Compliance Checklist. Applications must contain answers to the following questions to be responsive and to be considered for funding. Failure to answer these questions and include them with the application will result in the application being considered nonresponsive and not considered for funding.

1. Do any of the actions included in the proposal require compliance with either the California Environmental Quality Act (CEQA), the National Environmental Policy Act (NEPA), or both?

X
YES

NO

2. If you answered yes to # 1, identify the lead governmental agency for CEQA/NEPA compliance.

U.S. Bureau of Reclamation
Lead Agency

3. If you answered no to # 1, explain why CEQA/NEPA compliance is not required for the actions in the proposal.

4. If CEQA/NEPA compliance is required, describe how the project will comply with either or both of these laws. Describe where the project is in the compliance process and the expected date of completion.

Initially with Phase I a preliminary environmental assessment will be prepared to assess the impacts of the proposed project. Compliance with both CEQA and NEPA will be achieved with a single document addressing the findings of the initial assessment. The estimated date for commencement of the environmental assessment is September 1, 2000 with date of completion January 1, 2001.

5. Will the applicant require access across public or private property that the applicant does not own to accomplish the activities in the proposal?

YES

X
NO

If yes, the applicant must attach written permission for access from the relevant property owner(s). Failure to include written permission for access may result in disqualification of the proposal during the review process. Research and monitoring field projects for which specific field locations have not been identified will be required to provide access needs and permission for access with 30 days of notification of approval.

6. Please indicate what permits or other approvals may be required for the activities contained in your proposal. Check all boxes that apply.

LOCAL

Conditional use permit	_____	
Variance	_____	
Subdivision Map Act approval	_____	
Grading permit	_____	
General plan amendment	_____	
Specific plan approval	_____	
Rezone	_____	_____
Williamson Act Contract cancellation	_____	
Other _____ (please specify)		
None required	<u>X</u>	

STATE

CESA Compliance	<u>X</u>	(CDFG)
Streambed alteration permit	<u>X</u>	(CDFG)
CWA § 401 certification	<u>X</u>	(RWQCB)
Coastal development permit	_____	(Coastal Commission/BCDC)
Reclamation Board approval	<u>X</u>	
Notification	_____	(DPC, BCDC)
Other _____ (please specify)		
None required	_____	

FEDERAL

ESA Consultation	<u>X</u>	(USFWS)
Rivers & Harbors Act permit	_____	(ACOE)
CWA § 404 permit	<u>X</u>	(ACOE)
Other _____ (please specify)		
None required	_____	

DPC = Delta Protection Commission
CWA = Clean Water Act
CESA = California Endangered Species Act
USFWS = U.S. Fish and Wildlife Service
ACOE = U.S. Army Corps of Engineers

ESA = Endangered Species Act
CDFG = California Department of Fish and Game
RWQCB = Regional Water Quality Control Board
BCDC = Bay Conservation and Development Comm.

Land Use Checklist

All applicants must fill out this Land Use Checklist for their proposal. Applications must contain answers to the following questions to be responsive and to be considered for funding. Failure to answer these questions and include them with the application will result in the application being considered nonresponsive and not considered for funding.

1. Do the actions in the proposal involve physical changes to the land(i.e. grading, planting vegetation, or breaching levees) or restrictions in land use (i.e. conservation easement or placement of land in a wildlife refuge)?

X
YES

NO

2. If NO to # 1, explain what type of actions are involved in the proposal (i.e., research only, planning only).

3. If YES to # 1, what is the proposed land use change or restriction under the proposal?

The eventual construction of a fish screen on the Sacramento River is anticipated to involve excavation and grading of a portion of the waterside berm and possibly moving landward a section of the river levee.

4. If YES to # 1, is the land currently under a Williamson Act contract?

YES

X
NO

5. If YES to # 1, answer the following:

Current land use	Existing	irrigation pumping plant, afterbay and canal
Current zoning	AG-FP	General Agriculture/Flood Plain
Current general plan designation	AG-20	General Agriculture - 20

6. If YES to #1, is the land classified as Prime Farmland, Farmland of Statewide Importance or Unique Farmland on the Department of Conservation Important Farmland Maps?

YES

X
NO

DON'T KNOW

7. If YES to # 1, how many acres of land will be subject to physical change or land use restrictions under the proposal?

8± acres

8. If YES to # 1, is the property currently being commercially farmed or grazed?

YES

X
NO

9. If YES to #8, what are

the number of employees/acre
the total number of employees

10. Will the applicant acquire any interest in land under the proposal (fee title or a conservation easement)?

YES

X
NO

11. What entity/organization will hold the interest? _____

12. If YES to # 10, answer the following:

Total number of acres to be acquired under proposal

Number of acres to be acquired in fee

Number of acres to be subject to conservation easement

13. For all proposals involving physical changes to the land or restriction in land use, describe what entity or organization will:

manage the property

Sutter Mutual Water Company

provide operations and maintenance services

Sutter Mutual Water Company

conduct monitoring

Sutter Mutual Water Company

14. For land acquisitions (fee title or easements), will existing water rights also be acquired?

YES

NO

15. Does the applicant propose any modifications to the water right or change in the delivery of the water?

YES

 X
NO

16. If YES to # 15, describe _____

NONDISCRIMINATION COMPLIANCE STATEMENT

STD. 19 (REV. 3-95) FMC

NOTE: THIS FORM IS NOT APPLICABLE AT THIS TIME FOR THIS PSP WHICH IS AT THE FEASIBILITY STAGE.

COMPANY NAME

The company named above (hereinafter referred to as "prospective contractor") hereby certifies, unless specifically exempted, compliance with Government Code Section 12990 (a-f) and California Code of Regulations, Title 2, Division 4, Chapter 5 in matters relating to reporting requirements and the development, implementation and maintenance of a Nondiscrimination Program. Prospective contractor agrees not to unlawfully discriminate, harass or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, disability (including HIV and AIDS), medical condition (cancer), age, marital status, denial of family and medical care leave and denial of pregnancy disability leave.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized to legally bind the prospective contractor to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.

OFFICIAL'S NAME

DATE EXECUTED

EXECUTED IN THE COUNTY OF

PROSPECTIVE CONTRACTOR'S SIGNATURE

PROSPECTIVE CONTRACTOR'S TITLE

PROSPECTIVE CONTRACTOR'S LEGAL BUSINESS NAME

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED <i>April 6, 2000</i>	Applicant Identifier <i>N/A</i>
		3. DATE RECEIVED BY STATE	State Application Identifier <i>N/A</i>
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier <i>N/A</i>

5. APPLICANT INFORMATION Legal Name: <i>Sutter Mutual Water Company</i>		Organizational Unit: <i>N/A</i>
Address (give city, county, State, and zip code): <i>P.O. Box 128 Robbins, CA 95676</i>		Name and telephone number of person to be contacted on matters involving this application (give area code): <i>Max Sakato (530) 738-4423</i>

6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; padding: 2px; display: inline-block;"> <i>94-1145434</i> </div>	7. TYPE OF APPLICANT: (enter appropriate letter in box) <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District </div> <div style="width: 45%;"> H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) <i>Private Corporation (Non-Profit)</i> </div> </div>
8. TYPE OF APPLICATION: <div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision </div> If Revision, enter appropriate letter(s) in box(es) A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____	9. NAME OF FEDERAL AGENCY: <i>Bureau of Reclamation</i>

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 10px;"> <i>N/A</i> </div> <div style="border: 1px solid black; padding: 2px; display: flex; gap: 5px;"> </div> </div> TITLE: _____	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: <i>Feasibility Study - Positive Barrier Screen Facility at Tisdale Pump Plant - Sacramento River</i>
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): <i>Sutter County</i>	

13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date <i>5/1/2000</i>	Ending Date <i>4/30/2001</i>	a. Applicant <i>CD 3 Doug Ose</i>	b. Project <i>CD 3 Doug Ose</i>

15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. No. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$ <i>250,000</i> .00	
b. Applicant	\$.00	
c. State	\$.00	
d. Local	\$.00	
e. Other	\$.00	
f. Program Income	\$.00	
g. TOTAL \$ <i>250,000</i> .00		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.		
a. Type Name of Authorized Representative <i>Max S. Sakato</i>	b. Title <i>General Manager</i>	c. Telephone Number <i>(530) 738-4423</i>
d. Signature of Authorized Representative <i>Max S. Sakato</i>		e. Date Signed <i>April 6, 2000</i>

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Eng. & Design Alt. Dev.		\$	\$	\$ 145,000	\$	\$ 145,000
2. Water Rights & Envr. Constraints				65,000		65,000
3. Legal, Admin. & Coordination				40,000		40,000
4.						
5. Totals		\$	\$	\$ 250,000	\$	\$ 250,000

SECTION B - BUDGET CATEGORIES

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY		Total	
	(a) Eng. & Design Alt.	(b) Water Rights	(c) Legal, Admin., Coord.	(d) Total
a. Personnel	\$	\$	\$	\$
b. Fringe Benefits				
c. Travel				
d. Equipment				
e. Supplies				
f. Contractual	145,000	65,000	10,000	220,000
g. Construction				
h. Other			Admin. & Coord. 30,000	30,000
i. Total Direct Charges (sum of 6a-6h)	145,000	65,000	40,000	250,000
j. Indirect Charges				
k. TOTALS (sum of 6i and 6j)	\$ 145,000	\$ 65,000	\$ 40,000	\$ 250,000
7. Program Income	\$	\$	\$	\$

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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(c) Other Sources	(e) TOTALS	
8. Engineering & Design Alternative Development	\$	\$ 0	\$	\$ 0	
9. Water Rights & Environmental Constraints		0		0	
10. Legal, Administration and Coordination		0		0	
11.					
12. TOTAL (sum of lines 8-11)	\$	\$ 0	\$	\$ 0	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 250,000	\$ 50,000	\$ 100,000	\$ 100,000	\$
14. Non-Federal	0	0	0	0	
15. TOTAL (sum of lines 13 and 14)	\$ 250,000	\$ 50,000	\$ 100,000	\$ 100,000	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(c) Third	(e) Fourth	
16. Design, Enviro. Document, Modeling & Permitting	\$ 1,000,000	\$ 0	\$	\$	
17. Construction	6,000,000	6,000,000			
18. Fish Screen Operational Performance	0	100,000			
19.					
20. TOTAL (sum of lines 16-19)	\$ 7,000,000	\$ 6,100,000	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:	22. Indirect Charges:				
23. Remarks:					

SUTTER MUTUAL WATER COMPANY POSITIVE BARRIER FISH SCREEN PROJECT TASK OUTLINE

PHASE I — FEASIBILITY STUDY

- Develop project alternatives.
- River velocity and bathymetric measurements.
- Site topographic survey.
- Consideration of need for fish bypass.
- Analyze annual sediment deposition and movement at diversion site.
- Geotechnical analysis and foundation investigation.
- Investigate existing water rights, water use and compatibility/constraints with screen operation.
- Environmental Constraints/biological survey.
- Define system components of alternative design concepts, i.e., screen material, structure configuration, screen protection and screen cleaning equipment.
- Effect of alternatives on river channel flood capacity.
- Operational controls and screen protection equipment.
- Facility operation and maintenance cost estimates.
- Preliminary project cost estimate and preparation of Feasibility Report.
- Recommendation of preferred alternative.
- Project administration, technical advisory meetings and environmental processing.

PHASE II — DESIGN AND PERMITTING

- USBR Hydraulic Modeling.
- Develop schedule for final design and screen construction .
- Complete environmental documentation following anadromous fish screen program guidelines.
- Final design and preparation of engineering drawings and specifications for construction.
- Obtain permits for project construction.
- Preparation of Post-Construction Evaluation & Assessment Plans, and Operations and Maintenance Plans.

PHASE III — CONSTRUCTION OF POSITIVE BARRIER FISH SCREEN.

PHASE IV — OPERATION TESTING, MONITORING AND FIELD PERFORMANCE DOCUMENTATION.

SUTTER MUTUAL WATER COMPANY POSITIVE BARRIER FISH SCREEN PROJECT

Sutter Mutual Water Company, a private water company located in Sutter County along the Sacramento River, has been identified as a major diverter of surface water from the Sacramento River through its Tisdale Pumping Plant. This diversion has been identified as a potential threat to entrainment and mortality of winter, spring and fall-run Chinook salmon, steelhead trout and other high risk species by both State and Federal fishery agencies.

This application for Federal Assistance (Standard Form 424) is to provide necessary funding for the Phase I Feasibility Study portion of the proposed project. The following task descriptions in consultation with U.S. Fish & Wildlife Service and the U.S. Bureau of Reclamation provide the steps to be followed in preparing the feasibility study necessary to define project alternatives and cost of construction of a positive barrier fish screen.

PHASE I - FEASIBILITY STUDY SCOPE OF WORK:

- 1.1 **DEVELOP PROJECT ALTERNATIVES.** Preparation of project alternatives will involve collection and review of all data on previous studies at the Tisdale Pumping Plant, river diversions, preparation of bathymetric measurements of the river and site topographic and geotechnical surveys for insight to the natural characteristics, flow and water diversion conditions while the screen facility will be operating. An analysis of the existing diversion will be made to determine the feasibility of screening the facilities as they are currently positioned and formulating alternatives which may provide a more suitable configuration and yet be effective and economical to construct. Operational requirements will be evaluated for each alternative to ensure uninterrupted diversions during the irrigation season.
- 1.2 **WATER RIGHTS AND WATER USE.** Investigate existing water rights with respect to historical diversions, crop patterns and use and evaluate operational modifications as they relate to project alternatives which may affect existing surface water rights.
- 1.3 **ENVIRONMENTAL CONSTRAINTS/BIOLOGICAL SURVEY.** Conduct a biological survey of the site and determine the effects the project could have on the biological resources in the area. Identify all constraints, describe potential environmental impacts and identify specific mitigation measures and permitting requirements which would be a necessary part of the project.
- 1.4 **RECOMMENDED PREFERRED ALTERNATIVE ANALYSIS.** Project alternatives deemed feasible for further consideration will be evaluated and the specific features of each alternative presented to facilitate refinements for selection of a preferred alternative acceptable to the water company and to the Department of Interior Anadromous Fish Screen Program. This analysis will include definition of the various system components, operational controls and screen protection equipment and river hydraulic analysis. A Feasibility Report will then be prepared with project cost estimates and operation and maintenance data for each alternative summarized resulting in selection of a recommendation for a preferred alternative.

- 1.5 **PROJECT ADMINISTRATION.** The task of project administration includes gathering of technical data on water company operation for consultant use, preparation of consultant proposals for the Feasibility Study, meeting with the affected agencies throughout the process and evaluating and coordinating the project to meet project objectives. Additional functions within this task include day-to-day project management, permit processing and development of agreements requiring the services of Company staff and legal counsel.

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | Item: | Entry: |
|-------|---|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:

-- "New" means a new assistance award.

-- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.

-- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in Column (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Line 6a-l - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program

INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.


PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE	
		General Manager	
APPLICANT ORGANIZATION		DATE SUBMITTED	
Sutter Mutual Water Company		April 6, 2000	

BUDGET INFORMATION - Construction Programs

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$.00	\$.00	\$.00
2. Land, structures, rights-of-way, appraisals, etc.	\$.00	\$.00	\$.00
3. Relocation expenses and payments	\$.00	\$.00	\$.00
4. Architectural and engineering fees	\$.00	\$.00	\$.00
5. Other architectural and engineering fees	\$.00	\$.00	\$.00
6. Project inspection fees	\$.00	\$.00	\$.00
7. Site work	\$.00	\$.00	\$.00
8. Demolition and removal	\$.00	\$.00	\$.00
9. Construction	\$.00	\$.00	\$.00
10. Equipment	\$.00	\$.00	\$.00
11. Miscellaneous	\$.00	\$.00	\$.00
12. SUBTOTAL (sum of lines 1-11)	\$.00	\$.00	\$.00
13. Contingencies	\$.00	\$.00	\$.00
14. SUBTOTAL	\$.00	\$.00	\$.00
15. Project (program) income	\$.00	\$.00	\$.00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$.00	\$.00	\$.00

FEDERAL FUNDING

17. Federal assistance requested, calculate as follows:
 (Consult Federal agency for Federal percentage share.)
 Enter the resulting Federal share.

Enter eligible costs from line 16c Multiply X _____%

\$

.00

INSTRUCTIONS FOR THE SF-424C

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0041), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET.
SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal Government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount, there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions, please contact the Federal agency.

Column a. - If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "COST CLASSIFICATION."

If this application entails a change to an existing award, enter the eligible amounts *approved under the previous award* for the items under "COST CLASSIFICATION."

Column b. - If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is *not* allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

Column. - This is the net of lines 1 through 16 in columns "a." and "b."

Line 1 - Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchases of land which is allowable for Federal participation and certain services in support of construction of the project.

Line 2 - Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line 3 - Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line 4 - Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line 5 - Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line 6 - Enter estimated engineering inspection costs.

Line 7 - Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.

Line 9 - Enter estimated cost of the construction contract.

Line 10 - Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line 11 - Enter estimated miscellaneous costs.

Line 12 - Total of items 1 through 11.

Line 13 - Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction cost to use.)

Line 14 - Enter the total of lines 12 and 13.

Line 15 - Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.

Line 16 - Subtract line 15 from line 14.

Line 17 - This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

ASSURANCES - CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the

National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <i>Max A. D'Amato</i>		TITLE <i>General Manager</i>
APPLICANT ORGANIZATION <i>Sutter Mutual Water Company</i>		DATE SUBMITTED <i>April 6, 2000</i>